

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: SMITH ET AL. Examiner: UNKNOWN  
Serial No.: 09/751,837 Group Art Unit: 2163  
Filed: DECEMBER 29, 2000 Docket: 11798.3USU1  
Confirmation No.: 9276  
Due Date: JULY 1, 2003  
Title: MULTI-ENVIRONMENT SCALABLE BUSINESS SYSTEM

CERTIFICATE UNDER 37 CFR 1.8:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: , Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on June 5, 2003.

By: 

Name: John C. Reich

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

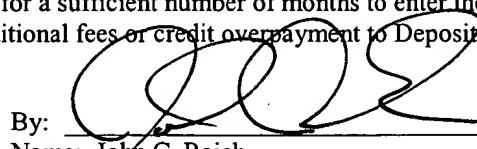
Sir:

We are transmitting herewith the attached:

- ☒ Transmittal Sheet in duplicate containing Certificate of Mailing
- ☒ Information Disclosure Statement, Form 1449, 16 References, copy of Netherlands Search Report
- ☒ Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers or any future reply, if appropriate. Please charge any additional fees or credit overpayment to Deposit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C.  
P.O. Box 2903, Minneapolis, MN 55402-0903  
612.332.5300

By:   
Name: John C. Reich  
Reg. No.: 37,703  
JReich:PSTdb





S/N 09/751,837

PATENT

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By: 

Name: James C. Reilly

INFORMATION DISCLOSURE STATEMENT (37 C.F.R. § 1.97(b))

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**RECEIVED**  
JUN 13 2003  
**GROUP 3600**

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. The references were recently cited in a Netherlands Search Report mailed April 1, 2003.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. § 1.98(a)(2), a copy of each document or other information listed on the enclosed Form 1449 is provided. Enclosed for the Examiner's information is a copy of the International Search Report.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please charge any additional fees or credit any overpayment to Deposit Account No. 13-2725.

Respectfully submitted,

MERCHANT & GOULD P.C.  
P.O. Box 2903  
Minneapolis, Minnesota 55402-0903  
(612) 322-5300

Date:

*June 5, 2003*



*[Signature]*  
John C. Reich  
Reg. No. 37,703  
JCR:PSTdb

Date Mailed: June 5, 2003

Sheet 1 of 1

<b>PTO 1449</b> <b>INFORMATION DISCLOSURE STATEMENT</b> <b>IN AN APPLICATION</b> (Use several sheets if necessary)	Docket Number: 11798.3USU1	Application Number: 09/751,837
	Applicant: SMITH ET AL.	
	Filing Date: 12/29/2000	Group Art Unit: 2163

U.S. PATENT DOCUMENTS						
EXAMINER INITIAL	DOCUMENT NO.	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	5,630,127	05/13/1997	Moore et al.			
	5,710,922	01/20/1998	Alley et al.			
	5,774,661	06/30/1998	Chatterjee et al.			
	5,889,944	03/30/1999	Butt et al.			
	5,890,161	03/30/1999	Helland et al.			
	5,991,771	11/23/1999	Falls et al.			

FOREIGN PATENT DOCUMENTS							
	DOCUMENT NO.	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
						YES	NO
	WO 98/25376	06/11/1998	PCT				
	WO 99/17240	04/08/1999	PCT				
	WO 99/40551	08/12/1999	PCT				
	WO 99/42942	08/26/1999	PCT				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)		
		"Enterprise Software Architecture (Whitepaper #99-2)," <i>TCS Corporate Architecture Group</i> , pp. 1-9 (August 1999).
		"IBM CICS Transaction Server for OS/390 - Evolving to e-business with DYNASTY (Whitepaper)," <i>Dynasty Technologies, Inc.</i> , pp. 1-22 (April 1999).
		"Network Computing Architecture™ - An Oracle Technical White Paper," <i>ORACLE®</i> , pp. 1-16 (June 1997).
		Saletore, V. et al., "Demonstrating a Solution and the Benefits of Intel® Server Cluster Using VI Architecture for Multi-Tier Internet-based Enterprise Applications," <i>Intel Developers Forum: Next Generation of Merrill Lynch Broker Information Management System</i> , pp. 3-15 (September 1, 1999).
		Scatliff, T., "A Portfolio Management System for the Twenty-First Century," <i>Handbook of Technology in Financial Services</i> , Chapter 37, pp. 37-1 through 37-13 (©1999).
		Seiler, H., "Business Rule Systems," <i>Handbook of Technology in Financial Services</i> , Chapter 7, pp. 7-1 through 7-14 (©1999).



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PATENT TRADEMARK OFFICE

EXAMINER	DATE CONSIDERED
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form for next communication to the Applicant.	